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CAPACITY-BUILDING

CAPACITY-BUILDING IN COUNTRIES WITH ECONOMIES IN TRANSITION

Possible elements of a draft framework for capacity-building in countries with economies in transition (Parties included in Annex I to the Convention but not included in Annex II)

Note by the secretariat

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I. MANDATE AND PROGRESS

1. The Conference of the Parties, by its decision 11/CP.5, requested the secretariat to develop elements of a draft framework for capacity-building activities for consideration by the subsidiary bodies at their thirteenth sessions. The secretariat was requested to carry out this task in close consultation with Parties at the twelfth sessions of the subsidiary bodies, and based on the information compiled and synthesized and relevant discussions of other issues under the Convention and its Kyoto Protocol (FCCC/CP/1999/6/Add.1).

2. Accordingly, the secretariat compiled and synthesized information contained in national communications and submissions relevant to capacity-building needs, priorities and activities, and made this available prior to the twelfth sessions of the subsidiary bodies (FCCC/SB/2000/INF.2, INF.3, INF.4, INF.7, INF.8 and INF.9). During the informal meetings prior to the twelfth sessions, a Chairman's paper was developed identifying possible elements of a draft framework for capacity-building activities in countries with economies in transition. Several Parties submitted comments on the Chairman's paper.

3. The Global Environment Facility (GEF) and the United Nations Development Programme (UNDP) presented the preliminary results of the needs assessment phase of their Capacity Development Initiative (CDI) to further inform the consultations during the informal meetings prior to the twelfth sessions of the subsidiary bodies. In late July 2000, the GEF and UNDP organized a CDI regional workshop for Eastern Europe and Central Asia to finalize the results of its needs assessment phase. The final results of the needs assessment phase of CDI will be presented by the GEF and UNDP during the informal meetings prior to the thirteenth sessions of the subsidiary bodies.

4. In mid-August 2000 the United Nations Institute for Training and Research (UNITAR), in cooperation with the secretariat and with the financial support of the Government of Switzerland, organized an informal meeting of countries with economies in transition to further develop their views on capacity-building. The views expressed at the workshop have been incorporated in the annexed revised Chairman's paper.

II. POSSIBLE ACTION BY THE SUBSIDIARY BODIES

5. The subsidiary bodies may wish to consider the results of the CDI, relevant discussions of other issues under the Convention and its Kyoto Protocol, and the possible elements of a draft framework identified in the revised Chairman's paper, and develop a draft decision establishing the elements of a framework for capacity-building in countries with economies in transition.

Annex

REVISED CHAIRMAN'S PAPER

Possible elements of a draft framework for capacity-building in countries with economies in transition

A. Purposes

1. A framework for capacity-building activities in countries with economies in transition (EIT Parties) serves the following purposes:

(a) To set out an initial scope for capacity-building activities under the Convention and the Kyoto Protocol;

(b) To provide the basis for an action plan that would lead to capacity-building activities that would support, in a timely manner, the adequate implementation of the Convention and the Kyoto Protocol by EIT Parties;

(c) To consolidate guidance on capacity-building to multilateral and bilateral funding agencies, including the Global Environment Facility (GEF) and other relevant institutions;

(d) To establish a process by which Parties can review progress in the implementation of this framework for capacity-building.

B. Guiding principles and approaches

2. The elements of a framework for capacity-building in EIT Parties is guided and informed by, inter alia, Articles 4.1, 4.2 and 4.6, 5, 6 and 12 of the Convention; Articles 2, 3, 5, 6, 7 and 17 of the Kyoto Protocol; and relevant provisions contained in decisions 9/CP.2, 6/CP.4, 7/CP.4 and 11/CP.5,[1] and will be revised in the light of future decisions.

3. As Parties included in Annex I, EIT Parties have quantified emission limitation and reduction commitments that impose additional challenges on their existing capacities to implement the Convention and the Kyoto Protocol. As Parties undergoing the process of transition to a market economy, they need to enhance their ability to address climate change issues. Capacity-building is therefore critical to the effective implementation by EIT Parties of their commitments under the Convention and Kyoto Protocol.

4. Capacity-building in EIT Parties should contribute to and clearly result in the implementation of the Convention and Kyoto Protocol by those countries.

5. Capacity-building activities should be driven by EIT Parties. They are to be undertaken primarily by EIT Parties and with EIT Parties in partnership with developed countries. There is no fixed or universal formula for capacity-building, as it is country-driven.

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[1] For the full texts of decisions adopted by the Conference of the Parties at its second, fourth and fifth sessions, see documents FCCC/CP/1996/15/Add.1, FCCC/CP/1998/16/Add.1 and FCCC/CP/1999/6/Add.1 respectively.

6. Capacity-building activities should respond to the needs assessed and determined by EIT Parties themselves. Financial and other assistance should be made available to these Parties to enable them to assess and determine their needs for capacity-building and provide the leadership to implement effective capacity-building activities.

7. Capacity-building should be incorporated into national development strategies and involve a broad range of stakeholders in a manner appropriate to the circumstances of each and every EIT Party. All stakeholders, including civil society and the private sector, should be involved in capacity-building activities, as appropriate.

8. Capacity-building activities should address and adapt to the specific needs and conditions of EIT Parties and reflect their national initiative, strategies and policy priorities so that the capacities developed are owned and further built upon by the EIT Parties themselves. Capacity-building is a long-term and progressive process which should be sustained to ensure that the capacities developed are useful to and supportive of the long-term objectives and priorities, and are able to evolve to meet future needs of EIT Parties in implementing sustainable development and the objectives of the Convention and the Kyoto Protocol.

9. Capacity-building should be designed and implemented to ensure that the existing endogenous capacities and capabilities of EIT Parties are developed and optimally utilized.

10. Capacities developed to implement the Convention and the Kyoto Protocol can contribute to sustainable development and the implementation of other global environmental agreements. Capacity-building activities should maximize such synergies.

11. The Annex II Parties, and multilateral and bilateral funding agencies, including the GEF outside its role as the operator of the financial mechanism, should provide the additional financial resources required to implement the elements of a framework for capacity-building in EIT Parties.

12. In order to maximize available resources for capacity-building and to facilitate exchange and cooperation among EIT countries, the EIT Parties through the activities of the GEF and other institutions should also identify common capacity-building needs and activities that can be best addressed at the regional (including subregional) and sectoral levels. The results of the next phase of the Capacity Development Initiative and other related activities can be used to further elaborate such capacity-building strategies at the regional, subregional and sectoral levels.

13. Capacity-building involves "learning by doing". Capacity-building activities should include uncomplicated mechanisms to facilitate learning and should be designed and implemented in a flexible manner to take into account emerging needs and the circumstances of EIT countries.

14. Capacity-building is a continuous and long-term process which should be implemented in stages based on the priorities of EIT countries.

15. Capacity-building is more effective when it is coordinated at all levels (country, regional and international) through dialogue between and among Annex I Parties, and when past and existing efforts are taken into account.

16. Whenever possible and effective, capacity-building should mobilize existing national institutions and bodies, and build on existing processes and existing endogenous capacities.

National focal points have an important role to play in ensuring coordination at the country and regional levels and should serve as focal points for coordinating capacity-building activities.

17. National institutions in EIT countries, such as research centres, institutions and universities, have an important role to play in providing capacity-building services to EIT countries. Such institutions can incorporate existing skills, knowledge and practices, provide appropriate, high-quality services to EIT countries, and facilitate information sharing.

C. Objectives and scope of capacity-building

Objectives

18. Capacity-building should contribute to sustainable development and the implementation of the Convention and the Kyoto Protocol by EIT Parties. It should be designed and implemented so that it clearly results in the development, strengthening, enhancement and improvement of new and existing institutions, human resources, technology and equipment, knowledge and information, methodologies and practices, and the participation and networking of EIT Parties within an enabling environment to achieve sustainable development and to implement their commitments under the Convention and the Kyoto Protocol. Capacity-building implies investing, financing, educating, training, networking, developing, and providing support for new and existing institutions, human resources, methodologies, technologies and processes in EIT Parties.

Scope for capacity-building

19. To ensure that capacity-building activities are country driven, EIT countries should determine their specific objectives, needs, priorities, timeframes and options to implement the Convention and the Kyoto Protocol consistent with their national sustainable development strategies and identify their specific needs for capacity-building on a country-by-country basis, taking into account existing capacities and past and current activities undertaken by bilateral and multilateral institutions, including the GEF, and the private sector with regard to capacity-building. Financial and other assistance should be made available to EIT countries to enable them to assess and determine their needs for capacity-building and provide the institutional leadership to implement effective capacity-building activities.

20. The needs for capacity-building in EIT countries were first identified in decision 11/CP.5. In addition, the compilation and synthesis document prepared by the secretariat (FCCC/SB/2000/INF.2) represents the first attempt to specify the needs and priorities for capacity-building based on submissions from these countries. The areas and needs for capacity-building are listed below. They will be further refined as information on capacity-building evolves and as needs and priorities are further identified.

21. Priority areas for capacity-building identified by EIT Parties related to the implementation of the Convention include:

(a) Improving the quality of the national greenhouse gas (GHG) inventories;

(b) Implementing policies and measures to reduce GHG emissions;

(c) Preparing projections and estimating the effect of policies and measures;

(d) Impact assessment and adaptation;

(e) Research and systematic observation;

(f) Education, training and public awareness;

(g) Facilitating transfer of environmentally sound technologies;

(h) Preparing national communications and national action plans.

22. All areas for capacity-building identified under the Convention are relevant to the implementation of the Protocol. In addition, the following priority areas for capacity-building have been identified for participation in the Kyoto Protocol process:

(a) Establishing national systems for estimation of GHG emissions (Article 5 of the Kyoto Protocol);

(b) Preparing supplementary information for the purposes of ensuring compliance with Article 3 of the Kyoto Protocol (Article 7 of the Kyoto Protocol);

(c) Implementation of mechanisms: projects (Article 6) and emissions trading (Article 17).

23. Within these priority areas for capacity-building, the specific needs of EIT Parties can be grouped as follows:

(a) Institutional capacity;

(b) Human resource development;

(c) Knowledge and information;

(d) Methodologies;

(e) Financial support.

24. The institutional capacity-building needs of EIT Parties cut across many of the areas that have been identified above as well as those that will be identified on a country-by-country basis. Institutional capacity-building includes, inter alia, the development and strengthening of national focal points, national institutions and other institutions such as academic, scientific and research institutions, non-governmental organizations, the private sector and other stakeholders in EIT countries. It seeks, inter alia, to ensure effective leadership and sustained efforts to implement the Convention and the Kyoto Protocol, and effective capacity-building activities at the national and local levels.

25. Human resource development includes, inter alia, increasing the number of trained national experts in climate change to address specific technical, technological and policy issues, increasing awareness and analytical capacity of policy makers on technical and policy aspects of climate change, exchange programmes among Parties, development of expertise and skills, and integration of climate change into the educational curricula.

26. Knowledge, information and methodologies include guidelines, methodologies, best practices and other knowledge-based resources being applied and/or developed to better address the areas for capacity-building outlined above, which can provide useful benchmarks, examples, practices and approaches to implement the Convention and the Kyoto Protocol. They could also be useful to further clarify the possible objectives and results of capacity-building activities in EIT Parties.

27. Financial support for capacity-building is an integral part of the capacity-building needs of the EIT countries and vital for the implementation of this capacity-building framework.

D. Implementation

Time-frame

28. This framework for capacity-building should be implemented promptly within a clear and specified time-frame, before the first commitment period, consistent with the action plans of EIT countries. The implementation of the framework for capacity-building will be periodically reviewed by the Conference of the Parties.

Financing and operation

29. The Annex II Parties, through multilateral and bilateral agencies as appropriate, should ensure the financial support required for the implementation of this framework for capacity-building, including assistance for the development of the domestic action plans of EIT countries consistent with their own priorities.

30. The GEF, outside its role as the operator of the financial mechanism, is expected to develop an operational strategy to implement the elements of a framework for capacity-building as part of its Capacity Development Initiative.

31. Multilateral and bilateral agencies are requested to coordinate in providing streamlined and expedited approaches to financing, implementing and supporting the implementation of the elements of a framework for capacity-building activities.

Responsibilities for implementation

32. In the implementation of this framework for capacity-building, EIT countries have, inter alia, the following responsibilities:

(a) To identify their specific priorities, objectives, time-frames and options to implement the Convention and the Kyoto Protocol consistent with their national sustainable development priorities, taking into account existing capacities, and past and current capacity-building development activities on a country-by-country basis;

(b) To provide the institutional leadership to promote the sustainability and effectiveness of capacity-building activities implemented within this framework;

(c) To improve the coordination and effectiveness of existing efforts and promote the participation and access to capacity-building activities of all stakeholders, including governments at all levels, local authorities, civil society and the private sector, as appropriate;

(d) To identify and provide information on their own capacity-building activities and to promote cooperation among EIT countries.

33. In implementing the elements of a framework for capacity-building, the cooperating partners of EIT Parties have the following responsibilities:

(a) To provide technical, financial, methodological and technological assistance for the areas and needs for capacity-building identified, including resources needed to assess the specific needs and priorities on a country-by-country basis;

(b) To provide an enabling environment to promote the sustainability and effectiveness of capacity-building activities implemented within this framework;

(c) To coordinate their capacity-building efforts and activities in a timely manner;

(d) To provide information on a regular and systematic basis in order to enable the COP to monitor progress in the implementation of this framework for capacity-building.

Review of progress

34. The COP, through the Subsidiary Body for Implementation, shall regularly review the progress in the implementation of the elements of a framework for capacity-building.

35. Information to enable the COP to review progress should be reported by Parties, including in their national communications, as well as by other relevant institutions.

Role of the secretariat

36. In implementing the elements of a framework for capacity-building, the secretariat is requested to undertake the following tasks, subject to the availability of resources:

(a) To coordinate closely with, and provide substantive support to, the operating entity of the financial mechanism, its implementing agencies and other agents for capacity-building, in elaborating an operational strategy to facilitate the implementation of the elements of a framework for capacity-building;

(b) To assist developing countries in identifying their capacity-building needs by making its technical expertise available through workshops, expert meetings, advisory services and similar activities;

(c) To facilitate and mobilize the development and dissemination, including through regional and subregional institutions and centres of excellence, of knowledge-based resources such as guidelines, methodologies and good practices which assist developing countries in further identifying and assessing their needs for capacity-building;

(d) To collect, process, compile and disseminate information needed by the COP or its subsidiary bodies to review the progress in the implementation of this framework for capacity-building;

(e) To undertake such other tasks as the COP may decide.